

FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICEINFORMATION DISCLOSURE STATEMENT
BY APPLICANT

(Use several sheets if necessary)

ATTY. DOCKET NO.:
OT0426KQ3SERIAL NO.:
09/940,784APPLICANT:
Haslwanter t al.FILING DATE:
August 28, 2001GROUP:
To Be Assigned

U.S. PATENT DOCUMENTS

| EXAMINER INITIAL | | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB- CLASS | FILING DATE IF APPROPRIATE |
|---------------------|----|--------------------|----------|-----------------|-------|---------------|-------------------------------|
| ST | AA | 2,861,920 | 11/25/58 | Dale et al. | 167 | 65 | |
| | AB | 4,358,439 | 11/09/82 | Sieber et al. | 424 | 177 | |
| | AC | 4,470,965 | 09/11/84 | Wolf et al. | 424 | 80 | |
| | AD | 4,581,225 | 04/08/86 | Su et al. | 424 | 45 | |
| | AE | 4,728,509 | 03/01/88 | Shimizu et al. | 424 | 81 | |
| | AF | 4,818,541 | 04/04/89 | Sanderson | 424 | 448 | |
| | AG | 4,880,813 | 11/14/89 | Frost | 514 | 282 | |
| | AH | 4,906,614 | 03/06/90 | Giertz et al. | 514 | 18 | |
| | AI | 4,910,225 | 03/20/90 | Ogawa et al. | 514 | 561 | |
| | AJ | 4,952,402 | 08/28/90 | Sparks et al. | 424 | 419 | |
| | AK | 5,000,936 | 03/19/91 | Chibre | 424 | 43 | |
| | AL | 5,114,979 | 05/19/92 | Kielley | 514 | 783 | |
| | AM | 5,116,847 | 05/26/92 | Gilbert et al. | 514 | 327 | |
| | AN | 5,164,194 | 11/17/92 | Hettche | 424 | 489 | |
| | AO | 5,164,398 | 11/17/92 | Sims et al. | 514 | 282 | |
| | AP | 5,177,223 | 01/05/93 | Arai et al. | 548 | 500 | |
| | AQ | 5,262,568 | 11/16/93 | Weber et al. | 564 | 238 | |
| | AR | 5,356,620 | 10/18/94 | Yamamoto et al. | 424 | 78.04 | |
| | AS | 5,366,972 | 11/22/94 | Hargrave et al. | 514 | 220 | |
| ST | AT | 5,419,898 | 05/30/95 | Ikejiri et al. | 424 | 78.04 | |
| | AU | 5,837,737 | 11/17/98 | Goldin et al. | 514 | 632 | |

FOREIGN PATENT DOCUMENTS

| | | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB- CLASS | TRANSLATION YES NO |
|----|----|--------------------|----------|--------------|--------|---------------|-----------------------|
| ST | AV | 0 109 561 | 05/84 | Europe | -- | -- | |
| | AW | 0 380 367 | 08/90 | Europe | -- | -- | |
| | AX | 0 454 617 | 10/91 | Europe | -- | -- | |
| | AY | 0 498 290 A1 | 08/92 | Europe | -- | -- | |
| | AZ | 0 571 671 | 12/93 | Europe | C07D | 471/14 | |
| | BA | 1-168619 | 07/04/89 | Europe | -- | -- | |
| | BB | 4-99731 | 03/31/92 | Japan | A 61 K | 31/57 | X |
| | BC | 62-123116 | 06/04/87 | Japan | A 61 K | 47/30 | X |
| | BD | WO 94/05330 | 03/94 | Japan | A 61 K | 31/435 | X |
| | BE | WO 94/11100 | 05/26/94 | WIPO | -- | -- | |
| ST | BF | JP3287535 | | WIPO | B01J | 13/02 | X |
| | BG | ZA 8404346 | | Japan | | | |
| | | | | South Africa | | | |

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

| | | |
|----|----|--|
| ST | BH | "Auxiliary Substances in Technology of Drug Form," (E. Rybacki and T. Stozek, Warsaw 1980), Vol. 7, Sections Titled, "Polyoxyethylene Glycols" and "Polyvinylpyrrolidone" (English Translation). |
| ST | BI | Martindale Th Extra Pharmacopoeia (1989), p. 841. |
| ST | BJ | Remington's Pharmaceutical Sciences (1985), pp. 889, 1127, 1159, 1299, 1305, 1309 and 1500. |

INFORMATION DISCLOSURE STATEMENT
BY APPLICANT

(Use several sheets if necessary)

ATTY. DOCKET NO.:

OT0426KQ3

SERIAL NO.:

09/940,784

APPLICANT:

Haslwanter et al.

FILING DATE:

August 28, 2001

GROUP:

To Be Assigned

| | | |
|----|----|---|
| ST | BK | Kublik, H. et al., "Rheological Properties of Polymer Solutions as Carriers for Nasal Drug Delivery Systems," Eur. J. Pharm. Biopharm, <u>39</u> (5) pp. 192-196 (1993). |
| | BL | Rozier, A. et al., "Gelrite®: A Novel, Ion-Activated, In-Situ Gelling Polymer For Ophthalmic Vehicles," International Journal of Pharmaceutics, <u>57</u> , pp. 163-168 (1989). |
| | BM | Chem. Abs.: Vol. 116, No. 18, No. 181179, May 7, 1992, JP-A-04026617. |
| | BN | Physician's Desk Reference for Non Prescription Drugs, (1993), pp. 699-700 |
| | BO | U.S.P. XXII, pp. 1118 and 1763 |
| ST | BP | Pharmaceutical Dosage Forms, Vol, 2 edited by Herbert A. Lieberman, et al., Marcel Dekker Inc., New York, USA, (1989), pages 180-187, 199. |
| | BQ | Tecnologica Farmaceutica, Dr. Edmundo Montalvo, pages 73, 74 and 75 |

EXAMINER

ST

DATE CONSIDERED

1/27/03

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

COPY OF PAPERS
ORIGINALLY FILED

| | | | |
|---|--|---|----------------------------------|
| FORM PTO-1449 | U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE | ATTY. DOCKET NO.: OT0426KQ3 | SERIAL NO.: 09/940,784 |
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use several sheets if necessary) | | APPLICANT: J seph A. Haslwanter t al. | |
| | | FILING DATE: August 28, 2001 | GROUP: 1615 |

U.S. PATENT DOCUMENTS

| EXAMINER INITIAL | | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB- CLASS | FILING DATE IF APPROPRIATE |
|---------------------|----|--------------------|----------|-----------------|-------|---------------|-------------------------------|
| S.T. | AA | 2,861,920 | 11/25/58 | Dale et al. | 167 | 65 | |
| | AB | 4,358,439 | 11/09/82 | Sieber et al. | 424 | 177 | |
| | AC | 4,470,965 | 09/11/84 | Wolf et al. | 424 | 80 | |
| | AD | 4,581,225 | 04/08/86 | Su et al. | 424 | 45 | |
| | AE | 4,728,509 | 03/01/88 | Shimizu et al. | 424 | 81 | |
| | AF | 4,818,541 | 04/04/89 | Sanderson | 424 | 448 | |
| | AG | 4,880,813 | 11/14/89 | Frost | 514 | 282 | |
| | AH | 4,906,614 | 03/06/90 | Giertz et al. | 514 | 18 | |
| | AI | 4,910,225 | 03/20/90 | Ogawa et al. | 514 | 561 | |
| | AJ | 4,952,402 | 08/28/90 | Sparks et al. | 424 | 419 | |
| | AK | 5,000,936 | 03/19/91 | Chibret | 424 | 43 | |
| | AL | 5,114,979 | 05/19/92 | Kielley | 514 | 783 | |
| | AM | 5,116,847 | 05/26/92 | Gilbert et al. | 514 | 327 | |
| | AN | 5,164,194 | 11/17/92 | Hettche | 424 | 489 | |
| | AO | 5,164,398 | 11/17/92 | Sims et al. | 514 | 282 | |
| | AP | 5,177,223 | 01/05/93 | Arai et al. | 548 | 500 | |
| | AQ | 5,262,568 | 11/16/93 | Weber et al. | 564 | 238 | |
| | AR | 5,356,620 | 10/18/94 | Yamamoto et al. | 424 | 78.04 | |
| | AS | 5,366,972 | 11/22/94 | Hargrave et al. | 514 | 220 | |
| | AT | 5,419,898 | 05/30/95 | Ikejiri et al. | 424 | 78.04 | |
| S.T. | AU | 5,837,737 | 11/17/98 | Goldin et al. | 514 | 632 | |

FOREIGN PATENT DOCUMENTS

| | | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB- CLASS | TRANSLATION | |
|------|----|--------------------|----------|---------|-------|---------------|-------------|----|
| | | | | | | | YES | NO |
| S.T. | AV | 0 109 561 A1 | 05/84 | Europe | | | | |
| | AW | 0 380 367 A1 | 08/90 | Europe | | | | |
| | AX | 0 454 617 A1 | 10/91 | Europe | | | | |
| | AY | 0 498 290 A1 | 08/92 | Europe | | | | |
| | AZ | 0 571 671 A1 | 12/93 | Europe | | | | |
| | BA | 1-168619 | 07/04/89 | Japan | | | | X |
| | BB | 4-99731 | 03/31/92 | Japan | | | | X |
| | BC | 62-123116 | 06/04/87 | Japan | | | | X |
| | BD | WO 94/05330 | 03/94 | WIPO | | | | |
| S.T. | BE | WO 94/11100 | 05/26/94 | WIPO | | | | X |

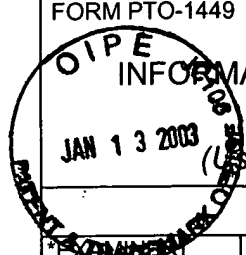
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

| | | |
|------|----|--|
| S.T. | BF | E. Rybacki et al., <i>Auxiliary Substances in Technology of Drug Form</i> , Sections Titled, "Polyoxyethylene Glycols" and "Polyvinylpyrrolidone," (publisher unknown) Warsaw, (1980) English translation, 12 pages. |
| S.T. | BG | J. E. F. Reynolds, Ed., <i>Martindal The Extra Pharmacopoeia</i> , 29 th Ed., The Pharmaceutical Press, London, p. 841 (1989). |
| S.T. | BH | A. R. Gennaro, Ed., <i>Ramington's Pharmaceutical Sciences</i> , 17 th Ed., Mack Publishing Co., Easton, PA, pp. 889, 1127, 1159, 1299, 1305, 1309 and 1500 (1985). |

RECEIVED

TECH CENTER 600/2900

JAN 15 2003



FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE

ATTY. DOCKET NO.:

SERIAL NO.:

OT0426KQ3**09/940,784**INFORMATION DISCLOSURE STATEMENT
BY APPLICANT

APPLICANT:

Joseph A. Haslwanter t al.

FILING DATE:

August 28, 2001

GROUP:

1615

(Use several sheets if necessary)

BI

H. Kublik et al., "Rheological Properties of Polymer Solutions as Carriers for Nasal Drug Delivery Systems," *European Journal of Pharmaceutics and Biopharmaceutics*, Vol. 39, pp. 192-196 (1993).

BJ

A. Rozier et al., "Gelrite®: A Novel, Ion-Activated, In-Situ Gelling Polymer For Ophthalmic Vehicles," *International Journal of Pharmaceutics*, Vol. 57, pp. 163-168 (1989).

BK

Chemical Abstracts: 116: 181179 (1992).

BL

Physician's Desk Reference for Non Prescription Drugs, 14th Ed., Medical Economics Data Production, Co., Montvale, NJ, pp. 699-700 (1993).

BM

U.S.P. XXII, United States Pharmacopeial Convention, Inc., Rockville, MD, pp. 1118 and 1763 (1990).

BN

H. A. Lieberman et al., *Pharmaceutical Dosage Forms: Disperse Systems*, Vol. 2, Marcel Dekker Inc., New York, pages 180-187 and 199 (1989).

BO

~~E. Montalvo Aguirre, *Tecnologica Farmaceutica*, pages 73, 74 and 75 (publication information not available).~~

BP

WPI Abstract of JP 3-287535

BQ

WPI Abstract of WO 94/11100

BR

WPI Abstract of ZA 8404346

BS

WPI Abstracts of JP 1-168619 and JP 62-123116

BT

WPI Abstract of JP 4-099731

BU

Intellectual Property Network Abstract of JP 62-123116

EXAMINER

DATE CONSIDERED

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

RECEIVED
 JAN 15 2003
 TECH CENTER 1600/2900